PatentsView for Policy

Small Business Innovation Research &
Small Business Technology Transfer
(SBIR/STTR)

www.sbir.gov

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Small Business Innovation Research (SBIR)

→ Set-aside program for small business to engage in Federal R&D with potential for commercialization

→ 3.2% of the extramural research budget for agencies with a budget greater than $100M per year

$2.2 billion set-aside each year
Small Business Technology Transfer (STTR)

→ Parallel set-aside program to facilitate cooperative R&D between small businesses and U.S. research institutions – with potential for commercialization

→ 0.45% of the extramural research budget for agencies with a budget greater than $1B per year

$290 million set-aside each year
Program Goals

→ Meet Federal **research and development needs**

→ Increase private-sector **commercialization** of innovation derived from Federal research and development funding

→ Stimulate technological **innovation**

→ Foster and encourage **participation** in innovation and entrepreneurship by socially and economically disadvantaged persons

→ Foster **technology transfer** through cooperative R&D between small businesses and research institutions (STTR)
Why We Work on America’s Seed Fund

https://www.sbir.gov/news/testimonials
SBIR/STTR is a Gated Process w/ Three Phases

**Phase I**
- Concept Development
- 6 months – 1 year
- ~ $150,000

**Phase II**
- Prototype Development
- 24 months
- ~ $1,000,000

**Phase III**
- Commercialization
- No SBIR funding
### Agencies with SBIR/STTR Programs

<table>
<thead>
<tr>
<th>Agency</th>
<th>Budget</th>
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<tbody>
<tr>
<td>Department of Defense (DOD)</td>
<td>$1.070B</td>
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<tr>
<td>Department of Health and Human Services (HHS), including the National Institutes of Health (NIH)*</td>
<td>$797.0 M</td>
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<tr>
<td>Department of Energy (DOE), including Advanced Research Projects Agency – Energy (ARPA-E)</td>
<td>$206.1M</td>
</tr>
<tr>
<td>National Aeronautics and Space Administration (NASA)</td>
<td>$180.1 M</td>
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<tr>
<td>National Science Foundation (NSF)</td>
<td>$176.0 M</td>
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<tr>
<td>U.S. Department of Agriculture (USDA)</td>
<td>$20.3M</td>
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<tr>
<td>Department of Homeland Security (DHS): Science and Technology Directorate (S&amp;T) and Domestic Nuclear Detection Office (DNDO)</td>
<td>$17.7 M</td>
</tr>
<tr>
<td>Department of Commerce: National Oceanic and Atmospheric Administration (NOAA) and National Institute of Standards and Technology (NIST)*</td>
<td>$8.4M</td>
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<tr>
<td>Department of Transportation (DOT)</td>
<td>$7.9 M</td>
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<tr>
<td>Department of Education (ED)</td>
<td>$7.5 M</td>
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<tr>
<td>Environmental Protection Agency (EPA)</td>
<td>$4.2 M</td>
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</tbody>
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* Provides grants and contracts
SBIR/STTR Award Information Across Federal Agencies

→ 160,000+ awards
→ 48,000+ companies
→ Various visualizations

https://www.sbir.gov/sbirsearch/award/all
How Do the SBIR/STTR Programs Use Patent Data?

→ Program Evaluation

→ Commercialization Performance Benchmark
  → For SBIR/STTR awardees with 16+ Phase II awards over past 10 fiscal years (excluding the last 2)
  → Minimum required levels of commercialization:
    → Average of at least $100,000 sales/investments per Ph II award;
    OR
    → Number of patents resulting from SBIR work equal to or greater than 15% of the number of Ph II awards received during the period

https://www.sbir.gov/performance-benchmarks
USPTO-SBA Collaboration

→ SBIR/STTR impacts on company outcomes
→ Patents and trademarks
→ Sales
→ Employment

→ Using NETS (National Establishment Time Series Database)
How I’d Like to Use PatentsView: A Government Agency View

→ Ease agency program evaluation use
  → Government interest statements, award identifiers?

→ Enable studies of university/small business collaboration
  → Connections/transitions between assignees

→ Connections to iEdison (invention reporting)?
Stay In Touch

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